

PTO/SB/97 (12-97)

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In Re: George Hsu

Case: P417CIP Serial No.: 09/633,801 Filed: 08/07/2000

Art Unit: 2756 Examiner: Unknown

Subject: Methods and Apparatus for a Distributed Home-Automation-Control (HAC) Window

**Certificate of Transmission under 37 CFR 1.8**

Attention: Office of Initial Patent Examiner

Fax No.: (703) 308-7751

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Patricia C. Lambuth

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Note: Each paper must have its own certificate of transmslssion, or this certificate must identify  
each submitted paper.

Total Sheets Transmitted - 10 sheets

1. Copy of Corrected filing receipt for 09/633,801 - 1 sheet
2. Copy of Utility Patent Application as filed - 8 sheets
3. Certificate of Transmission - 1 sheet

Please change the Atty Docket No. for 09/663,871 to be P417CIP as corrected on the filing receipt. We are attaching a copy of the Utility Patent Application which indicates on all attachments the Atty Docket No. to be P417CIP. The error was typographical on the Application page. Please change the Atty. Docket No. to P417CIP, as on the corrected filing receipt and provide us with a Corrected Filing Receipt.

Please call me at (831) 726-1457 if you have any questions or if there are any problems in correcting the data.

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418



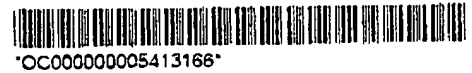
## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/633,801	08/07/2000	2756	345	P418	15	18	3

24739  
CENTRAL COAST PATENT AGENCY  
PO BOX 187  
AROMAS, CA 95004

## FILING RECEIPT



\*OC000000005413166\*

P417CIP

Date Mailed: 09/20/2000

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

George Hsu, Santa Rosa, CA ;

## Continuing Data as Claimed by Applicant

THIS APPLICATION IS A CIP OF 09/569,746 05/11/2000  
WHICH IS A CIP OF 09/477,226 01/04/2000

## Foreign Applications

If Required, Foreign Filing License Granted 09/20/2000

\*\* SMALL ENTITY \*\*

## Title

Method and apparatus for a distributed home-automation-control (HAC) window

## Preliminary Class

709

Data entry by : MOHAMMED, ABDULBASIT

Team : OIPE

Date: 09/20/2000



Please type a plus sign (+) inside this box → ☐Approved for use through 09/30/2000. OMB 0651-0032  
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<b>UTILITY PATENT APPLICATION TRANSMITTAL</b> (Only for new nonprovisional applications under 37 C.F.R. § 1.53(b))	Attorney Docket No.	P418
	First Inventor or Application Identifier	George Hsu
	Title	Method and Apparatus for a Distributed Home-Automation-Control (HAC) Window
	Express Mail Label No.	EL573443184US

APPLICATION ELEMENTS See MPEP chapter 600 concerning utility patent application contents.	ADDRESS TO: Assistant Commissioner for Patents Box Patent Application Washington, DC 20231
1. <input checked="" type="checkbox"/> * Fee Transmittal Form (e.g., PTO/SB/17) (Submit an original and a duplicate for fee processing)	5. <input type="checkbox"/> Microfiche Computer Program (Appendix)
2. <input checked="" type="checkbox"/> Specification [Total Pages 84] (preferred arrangement set forth below) <ul style="list-style-type: none"><li>- Descriptive title of the invention</li><li>- Cross References to Related Applications</li><li>- Statement Regarding Fed sponsored R &amp; D</li><li>- Reference to Microfiche Appendix</li><li>- Background of the invention</li><li>- Brief Summary of the invention</li><li>- Brief Description of the Drawings (if filed)</li><li>- Detailed Description</li><li>- Claim(s)</li><li>- Abstract of the Disclosure</li></ul>	6. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary) <ul style="list-style-type: none"><li>a. <input type="checkbox"/> Computer Readable Copy</li><li>b. <input type="checkbox"/> Paper Copy (identical to computer copy)</li><li>c. <input type="checkbox"/> Statement verifying identity of above copies</li></ul>
3. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets 15]	<b>ACCOMPANYING APPLICATION PARTS</b>
4. Oath or Declaration [Total Pages 2] <ul style="list-style-type: none"><li>a. <input checked="" type="checkbox"/> Newly executed (original or copy)</li><li>b. <input type="checkbox"/> Copy from a prior application (37 C.F.R. § 1.63(d)) (for continuation/divisional with Box 16 completed)<ul style="list-style-type: none"><li>i. <input type="checkbox"/> DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).</li></ul></li></ul>	7. <input type="checkbox"/> Assignment Papers (cover sheet & document(s))
	8. <input type="checkbox"/> 37 C.F.R. § 3.73(b) Statement (when there is an assignee) <input checked="" type="checkbox"/> Power of Attorney
	9. <input type="checkbox"/> English Translation Document (if applicable)
	10. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input type="checkbox"/> Copies of IDS Citations
	11. <input type="checkbox"/> Preliminary Amendment
	12. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
	13. <input checked="" type="checkbox"/> * Small Entity Statement(s) <input type="checkbox"/> Statement filed in prior application, Status still proper and desired (PTO/SB/09-12)
	14. <input type="checkbox"/> Certified Copy of Priority Document(s) (if foreign priority is claimed)
	15. <input checked="" type="checkbox"/> Other: Check for fees

\* NOTE FOR ITEMS 1 & 13: IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED AT C.F.R. § 1.37, EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON AT C.F.R. § 1.281

16. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:

<input type="checkbox"/> Continuation	<input type="checkbox"/> Divisional	<input checked="" type="checkbox"/> Continuation-in-part (CIP)	of prior application No: 09, 569,746
Prior application information: Examiner		Not Yet Assigned	Group / Art Unit: 2756

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

17. CORRESPONDENCE ADDRESS

<input checked="" type="checkbox"/> Customer Number or Bar Code Label	24739	or <input type="checkbox"/> Correspondence address below	
(Insert Customer No. or Attach bar code label here)			
Name			
Address			
City	State	Zip Code	
Country	Telephone	Fax	

Name (Print/Type)	Donald R. Boys	Registration No. (Attorney/Agent)	35074
Signature		Date	08/07/2000

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PTO/SB/17 (12-97)

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Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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**FEE TRANSMITTAL**

Note: Effective October 1, 1997.  
Patent fees are subject to annual revision.

**TOTAL AMOUNT OF PAYMENT (\$)** 345.00**Complete if Known**

Application Number	NA
Filing Date	08/07/2000
First Named Inventor	George Hsu
Group Art Unit	NA
Examiner Name	NA
Attorney Docket Number	P417CIP

**METHOD OF PAYMENT (check one)**

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number \_\_\_\_\_  
Deposit Account Name \_\_\_\_\_

- ☐ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17 ☐ Charge the Issue Fee Set in 37 CFR 1.18 at the Mailing of the Notice of Allowance

2. ☒ Payment Enclosed:  
☒ Check ☐ Money Order ☐ Other

**FEE CALCULATION****1. FILING FEE**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101 760	201 360	Utility filing fee	345.00
106 330	206 165	Design filing fee	
107 540	207 270	Plant filing fee	
108 790	208 395	Reissue filing fee	
114 150	214 75	Provisional filing fee	

**SUBTOTAL (1) (\$)** 345.00**2. CLAIMS**

Total Claims	Extra	Fee from below	Fee Paid
18	-20 = 0	X 09 = 0	
3	-3 = 0	X 39 = 0	
Multiple Dependent Claims		X	

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
103 18	203 09	Claims in excess of 20
102 78	202 39	Independent claims in excess of 3
104 270	204 135	Multiple dependent claim
109 82	209 41	Reissue independent claims over original patent
110 22	210 11	Reissue claims in excess of 20 and over original patent

**SUBTOTAL (2) (\$)** 0.00**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	
127 50	227 25	Surcharge - late provisional filing fee or cover sheet	
139 130	139 130	Non-English specification	
147 2,520	147 2,520	For filing a request for reexamination	
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115 110	215 55	Extension for reply within first month	
116 400	216 200	Extension for reply within second month	
117 950	217 475	Extension for reply within third month	
118 1,510	218 755	Extension for reply within fourth month	
128 2,060	228 1,030	Extension for reply within fifth month	
119 310	219 155	Notice of Appeal	
120 310	220 155	Filing a brief in support of an appeal	
121 270	221 135	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive - unavoidable	
141 1,320	241 660	Petition to revive - unintentional	
142 1,320	242 660	Utility issue fee (or reissue)	
143 450	243 225	Design issue fee	
144 670	244 335	Plant issue fee	
122 130	122 130	Petitions to the Commissioner	
123 50	123 50	Petitions related to provisional applications	
126 240	126 240	Submission of Information Disclosure Stmt	
581 40	581 40	Recording each patent assignment per property (times number of properties)	
146 790	246 395	Filing a submission after final rejection (37 CFR 1.129(a))	
149 790	249 395	For each additional invention to be examined (37 CFR 1.129(b))	

Other fee (specify) \_\_\_\_\_

Other fee (specify) \_\_\_\_\_

\* Reduced by Basic Filing Fee Paid

**SUBTOTAL (3) (\$)** 0.00**SUBMITTED BY**

Typed or Printed Name

Donald R. Boys

Signature

Date

08/07/2000

**Complete (if applicable)**

Reg. Number

35,074

Deposit Account User ID

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8/7/2000

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Filing fee P417CIP EL573443184US

⑈002139⑈ 1221139095⑈ 05⑈00399⑈⑈⑈

Certificate of express mailing No. EL573443184US  
Attorney Docket No: P417CIP Serial No. NA Date: 08/07/2000

1. Utility patent application transmittal.
2. 84 sheets of specification.
3. 15 sheets of drawings.
4. Fee transmittal.
5. Duplicate fee transmittal.
6. Declaration and Power of Attorney.
7. Verified Statement Claiming Small Entity.
8. Check for fees in the amount of \$345.00.
9. Certificate of express mailing.
10. Postcard listing contents.

Security features included. Details on back.

## Certificate of Express Mailing

"Express Mail" Mailing Label Number: EL573443184US

Date of Deposit: 08/07/2000

Ref: Case Docket No.: P417CIP

First Named Inventor: George Hsu

Serial Number: NA

Filing Date: 08/07/2000

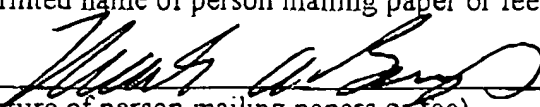
Title of Case: Method and Apparatus for a Distributed Home-Automation-Control (HAC) Window

I hereby certify that the attached papers are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. 1.10 on the date indicated above and addressed to the Commissioner of Patents and Trademarks, Washington D.C. 20231

1. Utility patent application transmittal.
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Mark A. Boys

(Typed or printed name of person mailing paper or fee)

  
(Signature of person mailing papers or fee)